

UTILITY PATENT APPLICATION TRANSMITTAL

03508 U.S. PRO
 10/626986
 07/25/03

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|---|---|---------------------|------------|--|--|---------------------------|--|
| Address to: Mail Stop PATENT APPLICATION Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450 | <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; border-bottom: 1px solid black; padding: 2px;"> Attorney Docket No. </td> <td style="width: 50%; border-bottom: 1px solid black; padding: 2px;"> 99-043-TAZ </td> </tr> <tr> <td colspan="2" style="border-bottom: 1px solid black; padding: 2px;"> Inventor(s) or Application Identifier: </td> </tr> <tr> <td colspan="2" style="padding: 2px;"> TIMOTHY C. OSTWALD ET AL. </td> </tr> </table> | Attorney Docket No. | 99-043-TAZ | Inventor(s) or Application Identifier: | | TIMOTHY C. OSTWALD ET AL. | |
| Attorney Docket No. | 99-043-TAZ | | | | | | |
| Inventor(s) or Application Identifier: | | | | | | | |
| TIMOTHY C. OSTWALD ET AL. | | | | | | | |

1. This application entitled SMALL LIBRARY HORSESHOE ARCHITECTURE is:
- a. ☐ A new application under 37 C.F.R. §1.53(b).
 - b. ☒ A ☒ continuation ☐ divisional or ☐ continuation-in-part application under 37 C.F.R. § 1.53(b) of prior application Serial No. 10/227,968 filed on August 26, 2002, entitled SMALL LIBRARY HORSESHOE ARCHITECTURE which is a divisional of Serial No. 09/832,270 (Patent No. 6,441,991) filed April 10, 2001, entitled SMALL LIBRARY HORSESHOE ARCHITECTURE which is a continuation of Serial No. 09/362,583 filed July 28, 1999, entitled SMALL LIBRARY HORSESHOE ARCHITECTURE.

Application elements and other attached papers:

- 2. ☒ Specification (incl. Claims and Abstract) [Total Pages 17]
- 3. ☒ Drawings (☐ informal ☒ formal) [Total Sheets 9]
- 4. ☒ Oath or Declaration
 - a. ☐ Newly-executed
 - b. ☒ Copy from a prior application (37 C.F.R. § 1.63(d))
- 5. ☐ Incorporation By Reference: The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Item 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
- 6. ☐ This application is filed by fewer than all the inventors named in the prior application, 37 C.F.R. § 1.53(d)(4).
 - a. ☐ **DELETE** the following inventor(s) named in the prior nonprovisional application:
 - b. ☐ The inventor(s) to be deleted are set forth on a separate sheet attached hereto.

CERTIFICATION UNDER 37 C.F.R. § 1.10

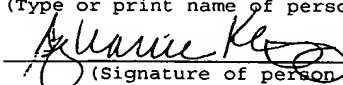
I hereby certify that this UTILITY PATENT APPLICATION TRANSMITTAL and the documents referred to as attached therein are being deposited on the below date with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" addressed to: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Express Mail Label No. EU327298665US

Stephanie Klepp

(Type or print name of person mailing paper)

Date of Deposit: July 25, 2003


 (Signature of person mailing paper)

7. Preliminary Amendment:

- a. ☒ A Preliminary Amendment is attached.
- b. ☒ Cancel in this application original claims 2-13 of the prior application before calculating the filing fee.
- c. ☒ Please amend the specification by inserting before the first line the sentence:
- "This is a
- ☒ continuation
- ☐ divisional
- of copending application(s)
- ☒ Serial number 10/227,968 filed on August 26, 2002, entitled SMALL LIBRARY HORSESHOE ARCHITECTURE which is a divisional of Serial No. 09/832,270 (Patent No. 6,441,991) filed on April 10, 2001, which is a continuation of Serial No. 09/362,583 filed July 28, 1999.
- d. ☐ A Petition to Suspend Prosecution For The Time Necessary to File An Amendment (New Application Filed Concurrently) is attached.

8. Small entity status:

- a. ☐ A small entity statement is attached.
- b. ☐ A small entity statement was filed in the prior nonprovisional application and such status is still proper and desired.
- c. ☐ Is no longer desired.

9. Fee Calculation:

| FOR | NUMBER FILED | NUMBER EXTRA | RATE | CALCULATIONS |
|---|--------------|--------------|------------------------------------|--------------|
| TOTAL CLAIMS (37 C.F.R. § 1.16(c)) | 4 -20 = | | X 18.00 | |
| INDEPENDENT CLAIMS (37 C.F.R. § 1.16(b)) | 2 -3 = | | X 84.00 | |
| MULTIPLE DEPENDENT CLAIMS (if applicable) (37 C.F.R. § 1.16(d)) | | | 260.00 | |
| | | | BASIC FEE (37 C.F.R. § 1.16(a)) | 750.00 |
| | | | Total of above Calculations = | 750.00 |
| Reduction by 50% for filing by small entity (Note 37 C.F.R. §§ 1.9, 1.27, 1.28) | | | | |
| Assignment Recordal Fee | | | 40.00 | |
| TOTAL = | | | | 750.00 |

10. ☐ A check in the amount of \$_____ is enclosed.

11. ☒ The Commissioner is hereby authorized to credit overpayments or charge the following fees (or any deficiency therein) to Storage Technology Corporation Deposit Account No. 19-4545:
- a. ☒ Fees required under 37 C.F.R. § 1.16.
- b. ☒ Fees required under 37 C.F.R. § 1.17.

12. Maintenance of Copendency of Prior Application

☐ A request for extension of time and the appropriate fee have been filed in the pending prior application (or are being filed in the prior application concurrently herewith) to extend the period for response until _____.

13. ☐ An Information Disclosure Statement (IDS) is attached, along with the following indicated attachments thereto:

a. ☐ Form PTO/SB/08 (1 sheet(s))

b. ☐ Copies of references cited

14. ☐ Certified copy of priority document(s)

15. ☒ Return Receipt Postcard

16. ☐ Other: _____

17. ☒ An Assignment of the invention to Storage Technology Corporation

a. ☐ is attached.

b. ☒ was recorded on July 28, 1999 at Reel 010135, Frame 0654.

18. The power of attorney in the prior application is to:

Name of Attorney of Record _____ Reg. No. _____

☒ The power appears in the original papers in the prior application.

☐ The power does not appear in the original papers, but was filed on _____.


☐ A new power has been executed and is attached.

19. Correspondence Address: Please address all future communications to:

Timothy R. Schulte,
Storage Technology Corporation
One StorageTek Drive, MS-4309
Louisville, Colorado 80028-4309
Telephone: 303-673-5989; Fax: 303-673-4151

Respectfully submitted,

Date: July 25, 2003


Name: Timothy R. Schulte
Registration No.: 29,013

☒ Attorney or agent of record
☐ Filed under Rule 34(a)